



07-2301

CPA/28158

#9

**CONTINUED PROSECUTION APPLICATION (CPA)  
UNDER 37 C.F.R. § 1.53(d)  
REQUEST TRANSMITTAL**

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<i>Address to:</i>	<i>Attorney Docket No.:</i>	303.389US2
<b>Commissioner for Patents Box CPA Washington, D.C. 20231</b>	<i>First Named Inventor:</i>	Leonard Forbes
	<i>Express Mail No.:</i>	EL618436614US
	<i>Total Pages (if by fax):</i>	0

This is a request for filing a continuation application under 37 CFR § 1.53(d) of prior application Serial No. 09/467,992, filed on December 20, 1999, entitled CIRCUITS WITH A TRENCH CAPACITOR HAVING MICRO-ROUGHENED SEMICONDUCTOR SURFACES.

The above-identified prior application in which no abandonment of, or termination of, proceedings has occurred, is hereby expressly abandoned as of the filing date of this request for a CPA. Please use all the contents of the prior application file wrapper, including the drawings, as the basic papers for the new application. (37 CFR 1.53(b) must be used for continuation-in-part applications or for applications where the prior application is not to be abandoned.)

1. ☐ Enter the amendment previously filed on ☐ under 37 CFR 1.116, but unentered, in the prior application.
2. ☒ A Preliminary Amendment ( 9 pages) is enclosed.
3. ☐ This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - a. ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:  
\_\_\_\_\_
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney is enclosed.
5. ☒ Information Disclosure Statement is enclosed.
  - a. 1 Form(s) 1449
  - b. 1 Copies of IDS Citations

07/24/2001 GTEFFERA 00000110 09467992

01 FC:131	710.00 OP
02 FC:103	162.00 OP
03 FC:102	400.00 OP

The filing fee is calculated below on the basis of the claims existing in the prior application as amended at 1 and 2 on the previous page:

	No. Filed	No. Extra	Rate	Fee
TOTAL CLAIMS	29 - 20 =	9	x 18 =	\$162.00
INDEPENDENT CLAIMS	8 - 3 =	5	x 80 =	\$400.00
[ ] MULTIPLE DEPENDENT CLAIMS PRESENTED				\$0.00
BASIC FEE				\$710.00
TOTAL				\$1,272.00

6. ☐ Small Entity Status:

a. ☐ A small entity statement is enclosed.

b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.

c. ☐ Is no longer claimed.

7. ☒ A check in the amount of \$1,272.00 is attached to pay the filing fee.

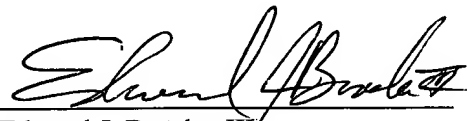
8. ☒ The Commissioner is hereby authorized to credit overpayments or charge any fees set forth in 37 CFR 1.16 through 1.18 to Deposit Account No. 19-0743.

9. ☐ A petition for extension of time in the prior application is enclosed along with a check in the amount of \$0.00 to pay the extension fee.

10. ☒ Clean Version of Pending Claims (6pgs).

Clean Version of Amended Specification Paragraph (1pg.).

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By:   
Atty: Edward J. Brooks, III  
Reg. No. 40,925

Customer Number **21186**

"Express Mail" mailing label number: EL618436614US

Date of Deposit: July 20, 2001

This paper or fee is being deposited on the date indicated above with the United States Postal Service pursuant to 37 CFR 1.10, and is addressed to Box CPA, Commissioner for Patents, Washington, D. C. 20231.



**EXPEDITED PROCEDURE - EXAMINING GROUP 2815**

S/N 09/467,992

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Leonard Forbes et al.	Examiner:	Eugene Lee
Serial No.:	09/467,992	Group Art Unit:	2815
Filed:	December 20, 1999	Docket:	303.389US2
Title:	CIRCUITS WITH A TRENCH CAPACITOR HAVING MICRO-ROUGHENED SEMICONDUCTOR SURFACES		

**PRELIMINARY AMENDMENT**

Box CPA  
Commissioner for Patents  
Washington, D.C. 20231

7-25-01  
T. Flower

In response to the final Office Action mailed June 5, 2001, please amend the application as follows:

**IN THE SPECIFICATION**

Please make the paragraph substitution indicated in the appendix entitled Clean Version of Amended Specification Paragraph. The specific changes incorporated in the substitute paragraph is shown in the following marked-up version of the original paragraph:

The paragraph beginning on page 7, line 8 is amended as follows:

Second plate 120 of capacitor 119 is common to all of the capacitors of array 100. Second plate 120 comprises a mesh or grid of n+ poly-silicon formed in deep trenches that surrounds at least a portion of second source/drain region 110 of each [pillar 104A through 104D] pillars 104 in memory cells 102A through 102D. Second plate 120 is grounded by contact with substrate 101 underneath the trenches. Second plate 120 is separated from source/drain region 110 by gate insulator 122.